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PATENTS  
8201/Y02/SYNX/SYNX/JW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Michael R. Rice et al.  
Serial No. : 10/764,620  
Filed : January 26, 2004  
For : SYSTEMS AND METHODS FOR TRANSFERRING SMALL  
LOT SIZE SUBSTRATE CARRIERS BETWEEN  
PROCESSING TOOLS  
Group Art Unit : 2125  
Customer No. : 41161

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicants wish to call the attention of the Examiner to the  
following references:

U.S. Patent Application Publication No. 2003/0202866  
A1, Weng et al.

U.S. Patent Application Publication No. 2002/0114684  
A1, Jeong et al.

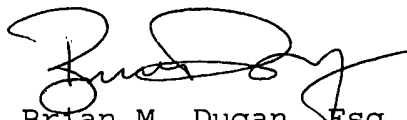
Foreign Art Reference No. WO 2005/006408 A1 (WIPO)

Foreign Art Reference No. WO 99/28952 A2 (WIPO)

These references are also listed on the accompanying  
Information Disclosure Statement (Form PTO-1449).

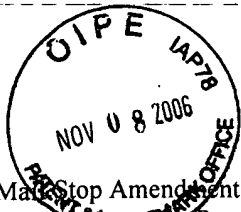
Consideration of the foregoing in relation to this  
patent application is respectfully requested.

Respectfully Submitted,

A handwritten signature in black ink, appearing to read "Brian M. Dugan", is written over the typed name.

Brian M. Dugan, Esq.  
Registration No. 41,720  
Dugan & Dugan, PC  
Attorneys for Applicants  
(914)332-9081

Dated: November 8, 2006  
Tarrytown, New York



Docket No. 8201/Y02/SYNX/SYNX/JW

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: Inventor(s): Michael R. Rice, Eric A. Englhardt, Vinay Shah, Martin R. Elliott, Robert B. Lowrance and  
Jeffrey C. Hudgens  
Title: SYSTEMS AND METHODS FOR TRANSFERRING SMALL LOT SIZE SUBSTRATE CARRIERS  
BETWEEN PROCESSING TOOLS  
Serial No.: 10/764,620  
Filed: January 26, 2004  
Examiner: Charles R. Kasenge  
Group Art Unit: 2125

Transmitted herewith is:

☒ PTO Form 1449; and☒ Information Disclosure Statement with four cited references.

FEE CALCULATION					
Fee Items	Claims Filed	Included With Basic Fee	Extra Claims	Fee Rate	Total
Total Claims	N/A	- 20 =	-0-	X \$50.00	\$0.00
Independent Claims	N/A	- 3 =	-0-	X \$200.00	\$0.00
Basic Filing Fee (\$300.00), Utility Search Fee (\$500.00), Utility Examination Fee (\$200.00)				\$1000.00	\$0.00
TOTAL FEES					PAID

The Commissioner is hereby authorized to charge \$0.00 to Deposit Account No. 04-1696.

☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-1696. A duplicate copy of this transmittal is enclosed.

☒ Please address all future correspondence to:

Customer # 41161  
Dugan & Dugan, PC  
55 South Broadway  
Tarrytown, NY 10591

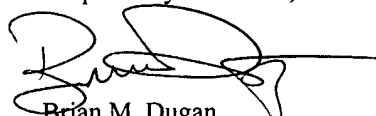
I hereby certify that this correspondence is being deposited with the United States Postal Service as express mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Date of Deposit: November 8, 2006

Signature: 

Respectfully submitted,

  
Brian M. Dugan  
Registration No. 41,720  
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U.S. Department of Commerce, Patent and Trademark Office

Docket No.:

8201/Y02/SYNX/SYNX/JW

Serial No.:

10/764,620

## LIST OF RELEVANT ART CITED BY APPLICANT

(Use several sheets if necessary)

Applicants:

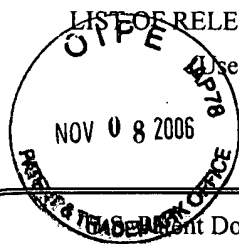
Michael R. Rice et al.

Filing Date:

January 26, 2004

Group:

2125



## Domestic Patent Documents

*Examiner Initial		Document Number	Issue Date	Name	Class	Subclass	Filing Date If Appropriate
	US-1	2003/0202866 A1	10/30/03	Weng et al.			
	US-2	2002/0114684 A1	08/22/02	Jeong et al.			
	US-3						
	US-4						
	US-5						
	US-6						
	US-7						
	US-8						
	US-9						
	US-10						
	US-11						

## Foreign Patent Documents

Translation

		Document Number	Date	Country	Class	Subclass	Yes	No
	F-1	WO 2005/006408 A1	01/20/05	WIPO			Abstract	
	F-2	WO 99/28952 A2	06/10/99	WIPO			X	
	F-3							
	F-4							
	F-5							

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	OT-1	
	OT-2	
	OT-3	

Examiner

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.